

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. : 10/583,596 Confirmation No. 7113  
Applicant : EVOY, David et al  
Filed : June 19, 2006  
TC/A.U. : To be Assigned  
Examiner : To be Assigned

Docket No. : **US03 0517 US2**  
Customer No. : 65913

Title: **SERIAL COMMUNICATION DEVICE CONFIGURABLE TO  
OPERATE IN ROOT MODE OR ENDPOINT MODE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Response to the Notice of Insufficient Basic National Required and/or Missing  
Copy of International Application Under 35 U.S.C. 371 and 37 CFR 1.495**

Sir:

In response to the Notice of Insufficient Basic National Required and/or  
Missing Copy of International Application Under 35 U.S.C. 371 and 37 CFR 1.495  
(hereinafter, "371 Formalities Notice") please consider the following.

Please accept a copy of the attached International Publication WO  
2005/060688 A2 (from International Application Number: PCT/US2004/042718  
filed on 17 December 2004). Owing to the inadvertent non-payment of fees to the US  
Receiving Office (RO/US), there is no International Search Report. Please refer to  
accompanying Petition to the PCT Legal Office.

Please charge any fees necessary to put this application in a condition for  
examination.

Please charge any fees other than the issue fee and credit any overpayments to  
Deposit Account **50-4019**.

Respectfully submitted,

Date: *18-NOV-2010*

By: /Peter Zawilski/  
Peter Zawilski, Reg. No. 43,305  
(408) 474-9063

Correspondence Address:

Intellectual Property & Licensing  
**NXP, B.V.**  
1109 McKay Drive; M/S-41SJ  
San Jose, CA 95131 USA

CUSTOMER NO. 65913

## PCT REQUEST

Original (for SUBMISSION )

<b>0</b>	<b>For receiving Office use only</b>	
<b>0-1</b>	International Application No.	
<b>0-2</b>	International Filing Date	
<b>0-3</b>	Name of receiving Office and "PCT International Application"	
<b>0-4</b>	<b>Form PCT/RO/101 PCT Request</b>	
<b>0-4-1</b>	Prepared Using	PCT-SAFE [EASY mode] Version 3.50 (Build 0002.163)
<b>0-5</b>	<b>Petition</b> The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
<b>0-6</b>	<b>Receiving Office (specified by the applicant)</b>	United States Patent and Trademark Office (USPTO) (RO/US)
<b>0-7</b>	<b>Applicant's or agent's file reference</b>	PHUS030517WO
<b>I</b>	<b>Title of invention</b>	SERIAL COMMUNICATION DEVICE CONFIGURABLE TO OPERATE IN ROOT MODE OR ENDPOINT MODE
<b>II</b>	<b>Applicant</b>	
<b>II-1</b>	This person is	applicant only
<b>II-2</b>	Applicant for	all designated States except US
<b>II-4</b>	Name	KONINKLIJKE PHILIPS ELECTRONICS, N.V.
<b>II-5</b>	Address	Groenewoudseweg 1 5621 BA Eindhoven Netherlands
<b>II-6</b>	State of nationality	NL
<b>II-7</b>	State of residence	NL
<b>II-8</b>	Telephone No.	+31 40 2743444
<b>II-9</b>	Facsimile No.	+31 40 2743489
<b>III-1</b>	<b>Applicant and/or inventor</b>	
<b>III-1-1</b>	This person is	applicant and inventor
<b>III-1-2</b>	Applicant for	US only
<b>III-1-4</b>	Name (LAST, First)	EVOY, David
<b>III-1-5</b>	Address	1109 McKay Drive, M/S-41SJ San Jose, California 95131-1706 United States of America
<b>III-1-6</b>	State of nationality	US
<b>III-1-7</b>	State of residence	US

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<b>III-2</b>	<b>Applicant and/or inventor</b>	
III-2-1	This person is	applicant and inventor
III-2-2	Applicant for	US only
III-2-4	Name (LAST, First)	WOOD, Sam C.
III-2-5	Address	1109 McKay Drive, M/S-41SJ San Jose, California 95131-1706 United States of America
III-2-6	State of nationality	US
III-2-7	State of residence	US
<b>IV-1</b>	<b>Agent or common representative; or address for correspondence</b>	
	The person identified below is hereby/ has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	common representative
IV-1-1	Name	KONINKLIJKE PHILIPS ELECTRONICS, N.V.
IV-1-2	Address	c/o Shannon Lester 1109 McKay Drive, M/S-41SJ San Jose, California 95131-1706 United States of America
IV-1-3	Telephone No.	+408 474 9073
IV-1-4	Facsimile No.	+408 474 9081
IV-1-5	e-mail	shannon.lester@philips.com
<b>V</b>	<b>DESIGNATIONS</b>	
<b>V-1</b>	<b>The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.</b>	
<b>VI-1</b>	<b>Priority claim of earlier national application</b>	
VI-1-1	Filing date	18 December 2003 (18.12.2003)
VI-1-2	Number	60/531,301
VI-1-3	Country	US
<b>VII-1</b>	<b>International Searching Authority Chosen</b>	European Patent Office (EPO) (ISA/EP)

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<b>VIII</b>	<b>Declarations</b>	<b>Number of declarations</b>	
VIII-1	Declaration as to the identity of the inventor	-	
VIII-2	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	1	
VIII-3	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	1	
VIII-4	Declaration of inventorship (only for the purposes of the designation of the United States of America)	-	
VIII-5	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	-	

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VIII-2-1	<b>Declaration: Entitlement to apply for and be granted a patent</b> Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent (Rules 4.17(ii) and 51bis.1(a)(ii)), in a case where the declaration under Rule 4.17(iv) is not appropriate: Name (LAST, First)	<b>in relation to this international application</b>  KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled to apply for and be granted a patent by virtue of the following:
VIII-2-1(i)		KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor, EVOY, David
VIII-2-1(i)		KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor, WOOD, Sam C.
VIII-2-1(i)	This declaration is made for the purposes of:	all designations except the designation of the United States of America

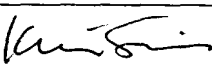
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VIII-3-1	<b>Declaration: Entitlement to claim priority</b> Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application specified below, where the applicant is not the applicant who filed the earlier application or where the applicant's name has changed since the filing of the earlier application (Rules 4.17(iii) and 51bis.1(a)(iii)) Name	<b>in relation to this international application</b>  KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled to claim priority of earlier application No. 60/531,301 by virtue of the following:
VIII-3-1(i) i)		KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor, EVOY, David
VIII-3-1(i) i)		KONINKLIJKE PHILIPS ELECTRONICS, N.V. is entitled as employer of the inventor, WOOD, Sam C.
VIII-3-1(i) x)	This declaration is made for the purposes of:	all designations

## PCT REQUEST

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IX	Check list	number of sheets	electronic file(s) attached
IX-1	Request (including declaration sheets)	6	✓
IX-2	Description	40	-
IX-3	Claims	3	-
IX-4	Abstract	1	✓
IX-5	Drawings	4	-
IX-7	TOTAL	54	
	<b>Accompanying Items</b>	paper document(s) attached	electronic file(s) attached
IX-8	Fee calculation sheet	✓	-
IX-11	Copy of general power of attorney	reference no. GPA03/0134	-
IX-13	Priority document(s)	Item(s) VI-1	-
IX-17	PCT-SAFE physical media	-	✓
IX-19	Figure of the drawings which should accompany the abstract	4a & b	
IX-20	Language of filing of the international application	English	
X-1	Signature of applicant, agent or common representative		
X-1-1	Name (LAST, First)	KONINKLIJKE PHILIPS ELECTRONICS, N.V.	
X-1-2	Name of signatory	SIMONS, Kevin - Agent	
X-1-3	Capacity		

## FOR RECEIVING OFFICE USE ONLY

10-1	Date of actual receipt of the purported international application	
10-2	Drawings:	
10-2-1	Received	
10-2-2	Not received	
10-3	Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application	
10-4	Date of timely receipt of the required corrections under PCT Article 11(2)	
10-5	International Searching Authority	ISA/EP
10-6	Transmittal of search copy delayed until search fee is paid	

## FOR INTERNATIONAL BUREAU USE ONLY

11-1	Date of receipt of the record copy by the International Bureau	
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**PCT (ANNEX - FEE CALCULATION SHEET)**Original (for **SUBMISSION**)

(This sheet is not part of and does not count as a sheet of the international application)

<b>0</b>	<b>For receiving Office use only</b>		
<b>0-1</b>	International Application No.		
<b>0-2</b>	Date stamp of the receiving Office		
<b>0-4</b>	<b>Form PCT/RO/101 (Annex)</b>		
<b>0-4-1</b>	<b>PCT Fee Calculation Sheet</b>	<b>PCT-SAFE [EASY mode]</b>	
	Prepared Using	<b>Version 3.50 (Build 0002.163)</b>	
<b>0-9</b>	<b>Applicant's or agent's file reference</b>		<b>PHUS030517WO</b>
<b>2</b>	<b>Applicant</b>		<b>KONINKLIJKE PHILIPS ELECTRONICS, N.V.</b>
<b>12</b>	<b>Calculation of prescribed fees</b>	fee amount/multiplier	Total amounts (USD)
<b>12-1</b>	Transmittal fee <b>T</b>	⇒	<b>300</b>
<b>12-2-1</b>	Search fee <b>S</b>	⇒	<b>1920</b>
<b>12-2-2</b>	International search to be carried out by	<b>EP</b>	
<b>12-3</b>	International filing fee (first 30 sheets) <b>I1</b>	<b>1134</b>	
<b>12-4</b>	Remaining sheets	<b>24</b>	
<b>12-5</b>	Additional amount <b>(X)</b>	<b>12</b>	
<b>12-6</b>	Total additional amount <b>I2</b>	<b>288</b>	
<b>12-7</b>	<b>I1 + I2 =</b>	<b>1422</b>	
<b>12-12</b>	EASY Filing reduction <b>R</b>	<b>-81</b>	
<b>12-13</b>	Total international filing fee (I-R) <b>I</b>	⇒	<b>1341</b>
<b>12-14</b>	Fee for priority document		
	Number of priority documents requested	<b>0</b>	
<b>12-15</b>	Fee per document <b>(X)</b>	<b>20</b>	
<b>12-16</b>	Total priority document fee: <b>P</b>	⇒	
<b>12-17</b>	<b>TOTAL FEES PAYABLE (T+S+I+P)</b>	⇒	<b>3561</b>
<b>12-19</b>	<b>Mode of payment</b>		<b>authorization to charge deposit account</b>
<b>12-20</b>	<b>Deposit account instructions</b>		
	The receiving Office	<b>United States Patent and Trademark Office (USPTO) (RO/US)</b>	
<b>12-20-1</b>	Authorization to charge the total fees indicated above	✓	
<b>12-20-2</b>	Authorization to charge any deficiency or credit any overpayment in the total fees indicated above	✓	
<b>12-20-3</b>	Authorization to charge the fee for priority document	✓	
<b>12-21</b>	Deposit account No.		<b>14-1279</b>
<b>12-22</b>	Date		<b>18 December 2004 (18.12.2004)</b>
<b>12-23</b>	Name and signature		<b>SIMONS, Kevin</b> 